

# QUALITY ENHANCEMENT GRANT PROGRAM

FY 2016

## NAUGATUCK LOCAL REQUEST FOR PROPOSAL

The purpose of the Quality Enhancement Grant Program (QEGP) is to provide funding for programs that focus on education and early care that address quality standards and/or expand comprehensive services for children and families.

Legislative Authority  
C.G.S. Section 17b-749c

DUE DATE

May 1<sup>st</sup>, 2015

### SUBMISSION INFORMATION

*Name:* \_\_\_\_\_  
*Agency (if applicable):* \_\_\_\_\_  
*Street Address:* \_\_\_\_\_  
*City, State, Zip* \_\_\_\_\_  
*Primary Contact:* \_\_\_\_\_  
*Telephone:* \_\_\_\_\_ *Fax:* \_\_\_\_\_ *E-mail:* \_\_\_\_\_

### FISCAL AGENT (if applicable)

*Name:* \_\_\_\_\_  
*Agency (if applicable):* \_\_\_\_\_  
*Street Address:* \_\_\_\_\_  
*City, State, Zip* \_\_\_\_\_  
*Primary Contact:* \_\_\_\_\_  
*Telephone:* \_\_\_\_\_ *Fax:* \_\_\_\_\_ *E-mail:* \_\_\_\_\_

**NAUGATUCK SCHOOL READINESS GRANT PROGRAM  
LOCAL QE RFP**

**TABLE OF CONTENTS**

<b>OVERVIEW .....</b>	<b>1</b>
<b>APPLICATION REQUIREMENTS .....</b>	<b>2</b>
<b>APPLICATION PROCESS .....</b>	<b>3</b>
<b>APPLICATION FOR ACTIVITY IMPLEMENTATION .....</b>	<b>5</b>
<b>PRIORITY SCHOOL READINESS QUALITY ENHANCEMENT BUDGET .....</b>	<b>7</b>
<b>COMPETITIVE SCHOOL READINESS QUALITY ENHANCEMENT BUDGET .....</b>	<b>8</b>
<b>STATEMENT OF ASSURANCES AND SIGNATURE PAGE.....</b>	<b>16</b>

## **OVERVIEW**

### **Purpose:**

The Office of Early Childhood (OEC) shall establish a program, within available appropriations, to provide on a competitive basis supplemental quality enhancement grants to providers of child day care services or providers of school readiness programs pursuant to Connecticut General Statute (C.G.S.) Section 10-16p and Section 10-16u to enhance the quality of early childhood education programs. Child day care providers and school readiness programs in priority school districts and competitive school readiness municipalities may apply for a quality enhancement grant. These applicants must use their local School Readiness Council to review and recommend projects for funding.

The purpose of the QEGP is to provide funding for early care and education programs to address quality standards and/or expand comprehensive services for children and families. C.G.S. Section 17b-749c identifies the following as appropriate use of grant funds:

1. Help providers who are not accredited by the National Association for the Education of Young Children to obtain such accreditation;
2. Help directors and administrators to obtain training;
3. Provide comprehensive services, such as enhanced access to health care, a health consultant, a mental health consultant, nutrition, family support services, parent education, literacy and parental involvement, and community and home outreach programs; and provide information concerning access when needed to a speech and language therapist;
4. Purchase educational equipment;
5. Provide scholarships for training to obtain a credential in early childhood education or child development;
6. Provide training for persons who are mentor teachers, as defined in federal regulations for the Head Start program, and provide a family service coordinator or a family service worker as such positions are defined in such federal regulations;
7. Repair fire, health and safety problems in existing facilities and conduct minor remodeling to comply with the Americans with Disabilities Act; train child care providers on injury and illness prevention; and achieve compliance with national safety standards;
8. Create a supportive network with family day care homes and other providers of care for children;
9. Provide for educational consultation and staff development;
10. Provide for program quality assurance personnel;
11. Provide technical assistance services to enable providers to develop child care facilities pursuant to C.G.S. Sections 17b-749g, 17b-749h and 17b-749i;
12. Establish a single point of entry system; and
13. Provide services that enhance the quality of programs to maximize the health, safety and learning of children from birth to three years of age, inclusive, including, but not limited to, those children served by informal child care arrangements. Such grants may be used for the improvement of staff to child ratios and interaction, initiatives to promote staff retention, pre-literacy development, parent involvement, curriculum content and lesson plans.

## **APPLICATION REQUIREMENTS**

### **Eligible Applicants**

Eligible applicants are individuals, agencies, or contractors that wish to compete for accessing or implementing the activities proposed by the municipality in accordance with the purpose of the QEGP.

### **Cover Sheet**

The format for the cover sheet appears on the initial page of this document. The cover sheet must include the name of the individual, agency, or contractor and fiscal agent information, if relevant. The municipality may amend the cover sheet to capture information needed to process contracts.

### **Application of Activity Implementation**

To compete for an opportunity to implement a proposed activity that the municipality has chosen, complete the *Application for Activity Implementation* and any other forms required by the municipality.

### **Evaluation**

Using the *Evaluation Chart*, describe the methods and procedures that will be used to determine if, and to what extent, the objectives of the proposal will be achieved. A narrative page may be added if the applicant needs to provide greater detail than the chart allows. The OEC may use data collected from your evaluations in a report describing the use of the Quality Enhancement funds and the impact of the activities toward the intended goals of the grant.

### **Budget Forms and Access to Funds**

Using the appropriate form(s), indicate how the activity funds will be expended through June 30, 2015.

**There are no administrative, indirect costs, or carry-over funds allowed.** The recipient of the award will work with the School Readiness liaison and/or the School Readiness fiscal agent regarding appropriate fiscal accountability.

### **Budget Justification**

Provide detailed explanation of each line item expenditure in your proposed budget.

### **Statement of Assurances**

The Statement of Assurances must be signed by the applicant.

## **APPLICATION PROCESS**

### **Obligations of Grantees and Sub-Grantees**

All bidders are hereby notified that the grant to be awarded is subject to contract compliance requirements as set forth in the C.G.S. Section 4a-60, 4a-60a and Sections 4a-68j-I et seq. of the Regulations of Connecticut State Agencies. Furthermore, the grantee must submit periodic reports of its employment and sub-contracting practices in such form, in such manner and in such time as may be prescribed by the Commission on Human Rights and Opportunities.

### **Freedom of Information Act**

All of the information contained in a proposal submitted in response to this Request for Proposal (RFP) is subject to the Freedom of Information Act Sections 1-200 et seq. (FOIA). The FOIA declares that, except as provided by federal law or state statute, records maintained or kept on file by any public agency (as defined in the statute) are public records and every person has the right to inspect such record and receive a copy of such records.

### **Management Control of the Program and Grant Consultation**

The Grantee must have complete management control of this grant. While the OEC staff may be consulted for their expertise, they will not be directly responsible for the selection of sub-grantees or vendors, nor will they be directly involved in the expenditure and payment of funds.

### **State Monitoring**

The State may conduct site visits to grantees and sub-grantees funded under this grant program to monitor a community's progress and compliance with the intent of the legislative act.

### **Due Date**

The Quality Enhancement Grant Application must be submitted in the following three formats by **4:30 p.m. on May 1<sup>st</sup>, 2015**. Please note that this is a new method of submission for this grant.

An **electronic copy** of the Quality Enhancement Grant Application **must be e-mailed** to [munron@naugy.net](mailto:munron@naugy.net).

Original, hard-copy signature pages (Cover Page, Statement of Assurances) must be mailed or hand-delivered.

A CD-copy of the School Readiness Grant Application must be mailed or hand-delivered.

All three items **must be received by 4:30 p.m. on May 1<sup>st</sup>, 2015, IRRESPECTIVE OF POSTMARK DATE**. Faxed or scanned copies of signatures will not be accepted.

### **Mailing and Delivery Information**

Mailing Address:	Delivery Address:
Nate Munro Naugatuck School Readiness Liason 62 Beebe St. Naugatuck, CT 06770	Nate Munro Naugatuck School Readiness Liason 62 Beebe St. Naugatuck, CT 06770

**Review of Proposals and Grant Awards**

The municipality shall review all applications and put forward to the OEC those proposals that show favorable promise in the implementation of the proposed activity.

**Other Program Requirements**

Within sixty (60) days after the close of the fiscal year, each grantee must file a financial statement of expenditures with the OEC on such forms as the OEC may require.

**Reservations and Restrictions**

The Municipality reserves the right not to fund an applicant or grantee/sub-grantee if it is determined that the grantee/sub-grantee cannot manage the fiscal responsibilities required under this grant.

## **APPLICATION FOR ACTIVITY IMPLEMENTATION**

For each proposed activity please provide a detailed description of the need for the activity, the intended goals and indicators of progress toward the goals. Provide the expected cost of each activity and the resources that could support the implementation of the activity. Copy this page as needed to describe each activity and provide a summary on the chart provided.

**Applicant Name:**

*Name of Activity:*

*Expected Cost:*

*Possible Resources:*

*Proposed Population (number of children, staff, and programs served by this activity:*

*Statement of Need:*

*Goals:*

*Indicators of Progress:*

Plan for Activity Evaluation:



# **PRIORITY SCHOOL READINESS QUALITY ENHANCEMENT BUDGET**

ED 114 BUDGET FORM: FISCAL YEAR 2016

GRANTEE NAME:		TOWN CODE:	
GRANT TITLE:	<b>Quality Enhancement Grant Program</b>		
PROJECT TITLE:	<b>Quality Enhancement Grant Program</b>		
ACCOUNTING CLASSIFICATION: FUND: 11000 SPID: 17097 YEAR: 2016 PROG: 82079 CF1: 170018 CF2:			
GRANT PERIOD: <b>07/01/14 –06/30/15</b>		AUTHORIZED AMOUNT:	
AUTHORIZED AMOUNT BY SOURCE:		CURRENT DUE:	
LOCAL BALANCE:		CARRY-OVER DUE:	
<b>CODES</b>	<b>DESCRIPTIONS</b>	<b>BUDGET AMOUNT</b>	
111A	Non-Instructional (Administrative/Supervisor Salaries/Clerical/Other)		
322	In-service (Professional Development)		
323	Pupil Services		
324	Field Trips		
325	Parent Activities		
330	Employee Training and Development Services		
340	Other Professional Services		
400	Purchased Property Services		
510	Pupil Transportation		
530	Communications		
580	Travel		
590	Other Purchased Services		
600	Supplies		
700	Property		
	TOTAL		

\_\_\_\_\_ Original Request Date

\_\_\_\_\_



700	Property	
	TOTAL	

\_\_\_\_\_ Original Request Date

\_\_\_\_\_ Revised Request Date

*Office of Early Childhood  
Program Manager Authorization*

\_\_\_\_\_  
Date of Approval

### **Budget Justification**

1. Use this page to justify the use of proposed line item expenditures to implement the Local RFP for the Quality Enhancement Grant Program.

**For Example:**

<b>322</b>	<b>Workshop on Developmentally Appropriate Materials</b>	<b>\$1000.00</b>
	<b>10 hours at \$100.00 per hour</b>	

## **Budget Object Codes**

### **I. General Description**

The Connecticut State Department of Education is using object code definitions from the United States Department of Education publication "Financial Accounting for Local and State School Systems." (<http://nces.ed.gov/pubs2009/2009325.pdf>) Per federal definition, an object is used to describe the service or commodity obtained as the result of a specific expenditure. There are nine major object categories which are defined below. These major categories use a single digit followed by two zeroes; more specific object classifications replace one or both of the zeroes with other figures. (e.g., the major category "Purchased Professional and Technical Services" is code 300. At the second level of detail, the code is 340 for "Other Professional Services", 320 for "Professional Educational Services", and 330 for "Employee Training and Development Services". At the lowest level of detail, codes 321 and 322 further breakdown "Professional Educational Services" to "Tutors" and "In Service", respectively.) Letters A and B are used to further define the second level of detail for the Personal Services - Salaries category.

An analysis of object code usage throughout the department has allowed us to develop the attached master budget with object codes of varying levels of detail. A standard description of each is also provided.

For a specific grant, it may be necessary to modify what can be included in a given object based on the grant legislation. Please review the instructions for specific grant budget development carefully before requesting an ED114 form from the Bureau of Grants Management.

### **II. Major Object Code Definitions**

#### **100 Personal Services - Salaries**

Amounts paid to both permanent and temporary grantee employees, including personnel substituting for those in permanent positions. This includes gross salary for personal services rendered while on the payroll of the grantees.

#### 200 Personal Services - Employee Benefits

Amounts paid by the grantee on behalf of employees; these amounts are not included in the gross salary, but are in addition to that amount. Such payments are fringe benefit payments and, while not paid directly to employees, nevertheless are part of the cost of personal services.

#### 300 Purchased Professional and Technical Services

Services which, by their nature, can be performed only by persons or firms with specialized skills and knowledge. While a product may or may not result from the transaction, the primary reason for the purchase is the service provided. Included are the services of architects, engineers, auditors, dentists, medical doctors, lawyers, consultants, teachers, accountants, etc.

#### 400 Purchased Property Services

Services purchased to operate, repair, maintain, and rent property owned or used by the grantee. These services are performed by persons other than grantee employees. While a product may or may not result from the transaction, the primary reason for the purchase is the service provided.

#### 500 Other Purchased Services

Amounts paid for services rendered by organizations or personnel not on the payroll of the grantee (separate from Professional and Technical Services or Property Services). While a product may or may not result from the transaction, the primary reason for the purchase is the service provided.

#### 600 Supplies

Amounts paid for items that are consumed, worn out, or deteriorated through use, or items that lose their identity through fabrication or incorporation into different or more complex units or substances.

#### 700 Property

Expenditures for acquiring fixed assets, including land or existing buildings, improvements of grounds, initial equipment, additional equipment, and replacement of equipment.

In accordance with the Connecticut State Comptroller's definition equipment, included in this category are all items of equipment (machinery, tools, furniture, vehicles, apparatus, etc.) with a value of over \$1,000.00 and the useful life of more than one year and data processing equipment that has unit price under \$1,000.00 and a useful life of not less than five years.

#### 800 Debt Service and Miscellaneous

Amounts paid for goods and services not otherwise classified above.

#### 900 Other Items

This series of codes is used to classify transactions which are not properly recorded as expenditures to the grantee but require budgetary or accounting control.

### **III. Master Budget Form Object Code Descriptions/Includable Items**

#### 111A Non-Instructional

Amounts paid to administrative employees of the grantee not involved in providing direct services to pupils/clients. Include all gross salary payments for these individuals while they are on the grantee payroll including overtime salaries or salaries paid to employees of a temporary nature.

#### 111B Instructional

Salaries for employees providing direct instruction/counseling to pupils/clients. This category is used for both counselors and teachers. Include all salaries for these individuals while they are on the grantee payroll including overtime salaries or salaries of temporary employees. Substitute teachers or teachers hired on a temporary basis to perform work in positions of either a temporary or permanent nature are also reported here. Tutors or individuals whose services are acquired through a contract are not included in the category. A general rule of thumb is that a person for whom the grantee is paying employee benefits and who is on the grantee payroll is included; a person who is paid a fee with no grantee obligation for benefits is not.

#### 200 Personal Services - Employee Benefits

Amounts paid by the grantee on behalf of the employees whose salaries are reported in objects 100 or 111A and 111B. These amounts are not included in the gross salary, but are in addition to that amount. Such payments are fringe benefit payments and, while not paid directly to employees, nevertheless are part of the cost of personal services. Included are the employer's cost of group insurance, social security contribution, retirement contribution, tuition reimbursement, unemployment compensation and workmen's compensation insurance.

#### 320 Professional Educational Services

Services supporting the instructional program and its administration. Included are curriculum improvement services, assessment, counseling and guidance services, library and media support, and contracted instructional services.

#### 321 Tutors (Instructional Non-Payroll Services)

Payments for services performed by qualified persons directly engaged in providing learning experiences for students. Include the services of teachers and teachers' aides who are not on the payroll of the grantee.

#### 322 In-service (Instructional Program Improvement Services)

Payments for services performed by persons qualified to assist teachers and supervisors to enhance the quality of the teaching process. This category includes curriculum consultants, in-service training specialists, etc., who are not on the grantee payroll.

#### 323 Pupil Services (Non-Payroll Services)

Expense for certified or licensed individuals who are not on the grantee payroll and who assist in solving pupils' mental and physical problems. This category includes medical doctors, therapists, audiologists, neurologists, psychologists, psychiatrists, contracted guidance counselors, etc.

#### 324 Field Trips

Costs incurred for conducting educational activities off site. Includes admission costs to educational centers, fees for tour guides, etc.

#### 325 Parental Activities

Expenditures related to services for parenting including workshop presenters, counseling services, baby-sitting services, and overall seminar/workshop costs.

#### 330 Employee Training and Development Services

Services supporting the professional and technical development of school district personnel, including instructional, administrative, and service employees. Included are course registration fees (that are not tuition reimbursement), charges from external vendors to conduct training courses (at either school district facilities or off-site), and other expenditures associated with training or professional development by third-party vendors.

#### 340 Other Professional Services

Professional services other than educational services that support the operation of the school district. Included, for example, are medical doctors, lawyers, architects, auditors, accountants, therapists, audiologists, dieticians, editors, negotiations specialists, paying agents, systems analysts, and planners.

#### 341 Audit

Direct cost for the audit of the grant program by an independent auditor. This category is separated from object code 340 as many grants do not include this cost as an eligible grant expenditure.

#### 350 Technical Services

Services to the school district that are not regarded as professional, but that require basic scientific knowledge, manual skills, or both. Included, for example, are data-processing services, purchasing and warehousing services, and graphic arts.

#### 351 Data-processing and Coding Services

Data entry, formatting, and processing services other than programming.

#### 352 Other Technical Services

Technical services other than data-processing and related services.

#### 430 Repairs and Maintenance Services

Expenditures for repairs and maintenance services not provided directly by school district personnel.

#### 440 Rentals

Costs for renting or leasing land, buildings, equipment, and vehicles.

#### 450 Construction Services

Includes amounts for constructing, renovating, and remodeling buildings or infrastructure assets paid to contractors. Account for the costs of non-permanent site improvements, such as fencing, walkways, and roads, that are related to buildings and building sites.

#### 490 Other Purchased Property Services

Purchased property services that are not classified above. Communication services are not included here, but should be included in object 530.

#### 510 Student Transportation Services

Expenditures for transporting pupils to and from school and other activities. Included are such items as bus rentals for field trips and payments to drivers for transporting handicapped children.

#### 530 Communication

Services provided by persons or businesses to assist in transmitting and receiving messages or information. This category includes telephone and voice communication services; data communication services to establish or maintain computer based communications, networking, and Internet services; video communications services to establish or maintain one-way or two-way video communications via satellite, cable, or other devices; postal communications services to establish or maintain postage machine rentals, postage, express delivery services, and couriers. Include licenses and fees for services such as subscriptions to research materials over the Internet software, both 'downloaded' and 'off-the-shelf,' should be coded to objects 650 or 735.

#### 540 Advertising

Expenditures for announcements in professional publications, newspapers, or broadcasts over radio and television. These expenditures include advertising for such purposes as personnel recruitment, legal ads, new and used equipment, and sale of property. Costs for professional advertising or public relations services are not recorded here, but are charged to object 340.

#### 560 Tuition

Expenditures to reimburse other educational agencies for instructional services to pupils.

#### 580 Travel

Expenditures for transportation, meals, hotel and other expenses associated with staff travel. Per diem payments to staff in lieu of reimbursement for subsistence (room and board) are also included.

#### 640 Books and Periodicals

Expenditures for books, textbooks, and periodicals prescribed and available for general use, including reference books. This category includes the cost of workbooks, textbook binding or repairs, and textbooks that are purchased to be resold or rented. Also recorded here are the costs of binding or other repairs to school library books.

**650 Supplies—Technology Related** Technology-related supplies include supplies that are typically used in conjunction with technology-related hardware or software. Some examples are CDs, flash or jump drives, parallel cables, and monitor stands. Software costs below the capitalization threshold should be reported here.

#### 710 Land and Land Improvements

Expenditures for the purchase of land and the improvements thereon. Purchases of air and mineral rights, for example, are included here. Also included are special assessments against the school district for capital improvements such as streets, curbs, and drains.

#### 720 Buildings

Expenditures for acquiring existing buildings, except payments to public school housing authorities or similar agencies. Expenditures for the contracted construction of buildings, for major permanent structural alterations, and for the initial or additional installation of heating and ventilating systems, fire protection systems, and other service systems in existing buildings are recorded under object 450. Buildings built and alterations performed by the school district's own staff are charged to objects 100, 200, 600 and 730, as appropriate. This code is used with governmental funds only.

#### 730 Equipment

Expenditures for initial, additional, and replacement items of equipment, such as machinery, furniture and fixtures, and vehicles.

#### 734 Technology-Related Hardware

Expenditures for technology-related equipment and technology infrastructure. These costs include those associated with the purchase of network equipment, servers, PCs, printers, other peripherals, and devices. Technology-related supplies should be coded to object code 650, Supplies—Technology Related.

#### 735 Technology Software

Expenditures for purchased software used for educational or administrative purposes that exceed the capitalization threshold. Expenditures for software that meet the standards for classification as a supply should be coded to object code 650, Supplies—Technology Related.

#### 914 Internal Transfers

Includes all transactions conveying financial resources from one fund to another within the district.



#### 917 Indirect Costs

Costs incurred by the grantee which are not directly related to the program but are a result thereof. Grantees must submit indirect cost proposals to the Connecticut State Department of Education to apply for a restricted and unrestricted rate. Only grantees that have received rate approvals are eligible to claim indirect costs. Please note, however, that grantees who receive the majority of their grant funds other than through the Connecticut State Department of Education may use the rate approved by another federal agency.

**STATEMENT OF ASSURANCES AND SIGNATURE PAGE**

PROJECT TITLE: Quality Enhancement Grant Program

THE APPLICANT \_\_\_\_\_ HEREBY ASSURES THAT

(Insert applicant name)

- A. The applicant has the necessary legal authority to apply for and receive the proposed grant;
- B. The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;
- C. The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant agency;
- D. The project will be operated in compliance with all applicable state and federal laws and in compliance with the regulations and other policies and administrative directives of the Connecticut State Board of Education and the CSDE;
- E. Grant funds shall not be used to supplant funds normally budgeted by the agency;
- F. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded throughout the entire grant period;
- G. The applicant will submit a final project report (within 60 days of the project completion) and such other reports, as specified, to the CSDE, including information relating to the project records and access thereto as the State Department of Education may find necessary;
- H. The Connecticut State Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summary, abstract, reports, publications, records, and materials resulting from this project and this grant;
- I. If the project achieves the specified objectives, every reasonable effort will be made to continue the project and/or implement the results after the termination of state and/or federal funding;
- J. The applicant will protect and save harmless the State Board of Education from financial loss and expense, including fees and legal fees and costs, if any, arising out of any breach of the duties, in whole or in part, described in the application for this grant;
- K. At the conclusion of each grant period, the applicant will provide for an independent audit report acceptable to the grantor in accordance with Sections 7-394a and 7-396a of the C.G.S., and the applicant shall return to the State Department of Education any monies not expended in accordance with the approved program/operation budget as determined by audit;

L. **Required Language (Non-discrimination)**

References in this section to “contract” shall mean this grant agreement and to “contractor” shall mean the Grantee.

(a) For purposes of this Section, the following terms are defined as follows:

- i. "Commission" means the Commission on Human Rights and Opportunities;
- ii. "Contract" and “contract” include any extension or modification of the Contract or contract;
- iii. "Contractor" and “contractor” include any successors or assigns of the Contractor or contractor;
- iv. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose;
- v. “good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- vi. "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
- vii. "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;
- viii. "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
- ix. "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and
- x. "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and “contract” do not include a contract where each contractor is (1) a political subdivision of the state, including,

but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

- (b) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an "affirmative action equal opportunity employer" in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers' representative of the Contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Connecticut General Statutes §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.
- (c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

- (d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.
- (e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes §46a-56; provided if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.
- (f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- (g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.
- (h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes § 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of

Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

### **OTHER ASSURANCES**

- M. The grant award is subject to approval of the Connecticut Office of Early Childhood and the availability of state and/or federal funds;
- N. The applicant agrees and warrants that Sections 4-190 to 4-197, inclusive, of the C.G.S. concerning the Personal Data Act and Sections 10-4-8 to 10-4-10, inclusive, of the Regulations of Connecticut State Agencies promulgated thereunder are hereby incorporated by reference;
- O. Grant funds should not be committed until an official grant award letter is received;
- P. The grantee agrees to other attestations and special assurances, particular to the requirements of C.G.S. Sections 10-16o through 10-16r for grantees or state agencies that require grantee or subgrantee participation or compliance;
- Q. The signature of the chief elected officials on the Statement of Assurances Signature Page indicates the intent to comply with the provisions referenced in each section. Assurances not agreed to by the chief elected official of the town must be identified on a separate sheet with a rationale for the disagreement; and
- R. The Grantee/applicant acknowledges that funds supporting this contract may be provided by various Federal agencies, including but not limited to the United States Department of Health and Human Services through a number of grants, block grants, and grants-in aid, including, but not limited to the Social Services Block Grant (“SSBG”), Child Care and Development Block Grant (CCDBG) and/or the Temporary Assistance for Needy Families Block Grant (TANF). Each federal block grant has a federal Catalog of Federal Domestic Assistance (CFDA) number, which provides relevant information about federal requirements specific to each block grant. The CFDA numbers are as follows: SSBG - 93.667, CCDBG - 93575 and TANF - 93.558. The Grantee (or Applicant) agrees that it shall communicate the above language to all sub-contractors that perform services as delineated in a subcontract agreement. The Grantee (or Applicant) agrees that it shall also maintain and require all sub-contractors to maintain any necessary data and documentation required for auditing of any of the grant funds.
- S. The Office of Early Childhood reserves the right to negotiate terms, including the withholding of funds, based on the grantee's inability with the assurances.
- T. The Office of Early Childhood reserves the right to de-fund subgrantees of the School Readiness Council based on the subgrantee's inability to comply with School Readiness General Policies.
- U.

The Office of Early Childhood reserves the right to negotiate terms, including the withholding of funds, based on the grantee's inability to comply with these assurances.



## Statement of Assurances Signature Page

I, the undersigned authorized official, do hereby certify that these assurances shall be fully implemented.

**Signature of Authorized Official:**

---

Name (please type)

---

Title (please type)

---

Date:

---

### Signature of the Fiscal Agent

**Signature of Fiscal Agent:**

---

Name (please type)

---

Title (please type)

---

Date:

---